

Retention and Classification Report

Agency: Department of Human Services. Office of Licensing (600)

Office of Licensing
195 North 1950 West
Salt Lake City, UT 84116
801-538-4242

Records Officer Joseph Gonzalez

23918	Cancelled vendor payment vouchers
19749	Closed foster care family licensing files
06829	Complaint case files
19746	Criminal background screening application files
23922	Employee reimbursement files
80412	Licensure files
24055	Policy and program correspondence

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23918

3

TITLE: Cancelled vendor payment vouchers

DATES: 1987-

ARRANGEMENT: Chronologically

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network accounts.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 50.

AUTHORIZED: 10/03/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Fiscal

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23918

TITLE: Cancelled vendor payment vouchers

(continued)

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19749

3

TITLE: Closed foster care family licensing files

DATES: 1996-

ARRANGEMENT: Alphabetical by provider surname, thereunder, chronological by year

ANNUAL ACCUMULATION: 15.00 cubic feet.

DESCRIPTION:

These records document licenses issued by the Department of Human Services, Office of Licensing, to foster parents that provide substitute care for children. This care includes specialized, structured, shelter, respite, kinship, specific, and adoption placement assistance. Information includes home studies, family resources, training records, applications, complaints, variances, decisions, and correspondence.

RETENTION:

Retain 10 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/1998

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after case closes and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19749

TITLE: Closed foster care family licensing files

(continued)

APPRAISAL:

Administrative Legal

This disposition is based on the administrative needs expressed by the agency and the legal requirement for obtaining a license for the foster care program.

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private.	UCA 63G-2-302 (2008). Resource family assessment, home studies/kinship assessment, consent and release of liability, notices of agency action, unsubstantiated complaints, medical reference letters and affidavits,
Protected.	UCA 63G-2-305 (2008). Child abuse/neglect referrals, reference letters

AGENCY: Department of Human Services. Office of Licensing

SERIES: 6829

3

TITLE: Complaint case files

DATES: i 1985-

ARRANGEMENT: Alphabetical by program name

ANNUAL ACCUMULATION:

DESCRIPTION:

These files document complaints recieved from clients and members of the public about services rendered from licensed alcohol and drug abuse treatment facilities and investigated by local health authorities. These files include the name of the complainant, the name of the individual(s) being investigated, the program or facility that is the subject of the complaint, the results of the investigation, and the following personal identifiers: alcohol or drug addiction, brothers and sisters, civil/criminal court involvement, condition of living quarters, current and past addresses, employer, membership in groups, medical information, name, name of kin, occupation, physical characteristics, physical disabilities, police records, psychiatric information, sex, signature, telephone number.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 66.

AUTHORIZED: 07/20/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 7 years and then destroy.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 6829

TITLE: Complaint case files

(continued)

APPRAISAL:

Administrative

This office handles complaints and forwards them for investigation and resolution. As the investigations files are kept by the local agencies, these files should not be needed for any subsequent legal action. These files are of use to the bureau to establish a potential pattern of problems in these facilities.

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19746 3

TITLE: Criminal background screening application files

DATES: 1990-

ARRANGEMENT: Alphabetical by applicant surname, thereunder chronological by year

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These files document criminal background screening applications sent to the Department of Human Services, Office of Licensing, by facilities licensed by the Office of Licensing. Information includes applications, consent and liability release information, fingerprints, rap sheets, and correspondence.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/1998

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19746

TITLE: Criminal background screening application files

(continued)

PRIMARY CLASSIFICATION:

Protected

SECONDARY CLASSIFICATION(S):

Private. UCA 63G-2-302 (2008)

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23922

3

TITLE: Employee reimbursement files

DATES: 1987-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

Records relating to reimbursing individuals for mileage, educational assistance, bus passes, etc. through the payroll system. Record copies of forms and screen prints are included in the documentation.

RETENTION:

Retain 3 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 18.

AUTHORIZED: 10/10/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

Administrative

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23922

TITLE: Employee reimbursement files

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Office of Licensing

SERIES: 80412

3

TITLE: Licensure files

DATES: 1975-

ARRANGEMENT: Alphabetical by provider surname

ANNUAL ACCUMULATION: 20.00 cubic feet.

DESCRIPTION:

This is a group of related records used in the issuance of licensing certifications of facilities that provide services to social service consumers. These types of facilities are: residential treatment, residential care, in/out patient treatment, day treatment, secure care, child placing, and driving under the influence educational facilities. These files are updated yearly. This series contains Application for Licensure, Physicians Statement for Owner/Operator and Staff or Adults, Nutrition Inspection, Caregiver Staff to Client Ratio Report, Objectives and Evaluations, Client Fee Schedule

RETENTION:

Retain 8 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years or until license is renewed or center closes and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 80412

TITLE: Licensure files

(continued)

APPRAISAL:

Administrative Fiscal Legal

Retention is based on Day Care Licensure Files, series number 16960. The eight year retention is given in case a child abuse action should be taken against the staff of the facility. UCA 76-10303(c).

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private.	Case record reviews, background clearance applications, physician statements, employee information
Controlled.	Psychological evaluations
Protected.	UCA 63G-2-305 (2008). Details of complaints, program policy and procedures, attorney/client information, licensor notes, notices of agency action.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 24055

3

TITLE: Policy and program correspondence

DATES: 1987-

ARRANGEMENT: Alphabetical by topic, thereunder chronological

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

Correspondence relating to the administration and history of the Office of Licensing. The records are used in conducting the Office's business. Information references archives, audits, conferences, hearings, legislature, policy and procedures, rule making, surveys, and other administrative topics.

RETENTION:

Retain 7 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 61.

AUTHORIZED: 03/27/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Historical

AGENCY: Department of Human Services. Office of Licensing

SERIES: 24055

TITLE: Policy and program correspondence

(continued)

PRIMARY CLASSIFICATION:

Public